Docket No.: 067234-0025 PATENT

Customer No.: 41552

Confirmation No.: 7981

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Fan, Jian-Bing, et al. Appl. No. : 09/779,376

: February 07, 2001

Filed

: NUCLEIC ACID DETECTION Title

METHODS USING UNIVERSAL

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Grp./A.U. : 1634

Examiner: : Lu, Frank Wei Min

DECLARATION UNDER 37 C.F.R. § 1.132

Mail Stop AF Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

- I, Min-Jui Richard Shen, Ph.D., declare as follows:
- I am a Senior Director of Scientific Research at Illumina, Inc. (Illumina), where I have held this position for two years. Prior to my current position I was Director of Scientific Research between 2003-2005 and prior to that I was Director of Scientific Operations between 2000-2003 at Illumina.
- 2) Prior to joining Illumina, I was Director of the High-throughput Sequencing Facility between 1999-2000 and Technical Laboratory Manager between 1998-1999 at Myriad Genetics Inc.
- I obtained a Bachelors of Science majoring in Biochemistry from UCLA in 1986. a Doctorate of Biochemistry from Louisiana State University in 1992. I was a post-doctoral fellow at University of Michigan between 1992-1994 and a post-doctoral fellow at Lawrence Livermore National Laboratory between 1994-1998. I have authored numerous papers in the area of genomics, microarray technology and nucleic acid detection methods. I have pending

and approved patents related to DNA sequencing and genotyping methods. I have been working in the field of DNA analysis for greater than 20 years and have worked in DNA analysis assay development for over 9 years. A copy of my curriculum vitae and a list of publications is attached as Exhibit 1.

- 4) It has been explained to me that three requirements must be satisfied for a combination of prior art references to render obvious a claimed invention. First, the cited art must teach or suggest all the limitations of the invention as recited in the claims. Second, the cited art, coupled with the knowledge generally available in the art at the time of the invention, must contain some suggestion or incentive that would have motivated the ordinary skilled artisan to modify a reference or to combine references. Third, the proposed modification of the cited art must have had a reasonable expectation of success, determined from the vantage point of the ordinary skilled artisan at the time the invention was made. I understand that the following factors are considered in making this determination: (1) the scope and content of the prior art; (2) the differences between the prior art and the claimed invention; (3) the level of skill in the pertinent art; and (4) secondary factors of unobviousness.
- Tam vary familiar with the invention claimed in U.S. Patent Application entitled "Nucleic Acid Detection Methods Using Universal Priming" having Serial No. 09/779,376, filed February 7, 2001. I have read the Office Action mailed April 5, 2007, and understand that claims 5, 13, 32, 39, 45 and 57 are rejected under 35 U.S.C. § 103(a) as obvious over Barany et al., U.S. Patent No. 6,534,293 ("Barany et al."), in view of Schneider et al., U.S. Patent No. 4,882,269 ("Schneider et al."). The Examiner concludes that it would have been obvious to one of ordinary skill at the time the invention was made to immobilize a complex described by Barany et al. to a solid support because immobilization would enhance separation of the complex from unhybridized probes and the signal generated from the immobilized complexes with a reasonable expectation of success. I have read both Barany et al. and Schneider et al. and have been asked to render an opinion on whether the claimed invention achieved an unexpected level of detecting nucleotide positions from different samples in the same reaction mixture compared to what one of ordinary skill in the art would have expected at the time the invention was made.

- 6) For the reasons summarized in this paragraph and detailed in the paragraphs that follow, based on my experience and personal knowledge in the field of nucleotide detection methods, it is my opinion that the person of ordinary skill in the art would not have expected the use of a solid phase immobilization step in combination with ligation complexes as described and claimed in the application to have achieved the claimed results. In particular, the invention claims a method of determining a nucleotide at a detection position in a multiplex format where at least 96 different target sequences are assayed in a common reaction mixture. As the lead developer for Illumina's genotyping assays, achieving accurate and reproducible determination of genotyping targets greater than about 12-24 would have been hailed as a major accomplishment. When we were able to assay 96 different nucleotide determinations ("96plex") in the same reaction mixture, I and others viewed this result as an unprecedented level of advancement in the field. This advancement subsequently opened the door to an entire new era in genomic detection methods that was not previously viewed as possible.
- 7) The general contention in the Office Action that one would have expected an immobilization step to enhance the signal generated from immobilized complexes because it allows separation of unhybridized probes was not the belief even for those skilled in the field of genotyping. At the time Drs. Fan and Chee made the claimed invention, Illumina had committed substantial effort to research and development for an assay that could accurately and reproducibly determine nucleotide positions in a multiplex format. The goal was to multiplex genotype as many loci as possible in a single reaction. The ability to multiplex 96 different loci simultaneously was a surprise to us and was much greater than what had been achieved prior to the invention.
- 8) Moreover, the path of experimentation at the time the invention was made generally followed attempts to increase specificity through various modifications within an amplification step or by relying on an enzymatic activity to degrade unhybridized probes in the reaction. Even when compared to such solution phase assays employing additional steps, the use of immobilizing ligation complexes to a solid support provided unexpected levels of multiplexing. To my knowledge, such solution phase assays have even now, more than seven years since the application was filed on the method of the invention, yet to achieve accurate and reproducible results of more than 48 different target sites. In comparison, one competitor

markets a ligation-based multiplex assay employing an enzymatic step to degrade unhybridized ligation probes. This assay is marketed by Applied Biosystems, Inc. ("AB") and is limited to determining only 48 different nucleotide positions in a common reaction mixture. Exhibit 2 is a copy of AB's web site for ordering this assay ("SNPlexTM). As shown at the top of Exhibit 2, the SNPlexTM assay "enables the simultaneous genotyping of up to 48 SNPs."

9) At the time the invention was made, I was very familiar with the development efforts with respect to AB's SNPlexTM assay advertised in Exhibit 2. As shown in Exhibit 3, as of 2003, AB was still projecting achieving multiplex levels greater than 48 determinations. However, Exhibit 2, shows that as of present this assay has yet to achieve the goal of more than 48 simultaneous determinations. The fact that AB, who is very experienced in the field has yet to achieve results similar to that which can be achieved by the claimed invention underscores the degree of advancement that was achieved by the invention more than seven years ago.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that any such willful false statement may jeopardize the validity of the application or any patent issued thereon.

Date: 10/5/07 By: Min-Yui Richard Shen, Ph.D.

SDO 78390-3.067234.0025

M. Richard Shen, Ph.D.

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(858) 513-9448

Experience:

2007-Current Sr. Director of Array Biochemistry, Illumina, Inc. Assay development and sustaining efforts are the responsibilities of my group. I lead a team of

sustaining errors are the responsionates of my group. Treat a team of managers that are responsible for the research and development of many high throughput gene expression and genotyping assays.

throughput gene expression and genotyping assays.

2005-2007

Sr. Director of Biochemistry Development, Illumina, Inc. In this role, I have lead several project teams to develop and expand the Infinium single nucleotide polymorphism genotyping product portfolio. In a matter of 9 months the team launched the HumanHap300 (317k SNP loci on a single

chip), HumanHap2408 (241k SNP loci), HumanHap550 (555k SNP loci), HumanHap650 (shipping in July), ISelect platform and several custom genotyping products. These products represent the state of the art in genotyping microarray density and quality. I am also the functional manager

for the biochemistry development group at Illumina.

2003-2005 Director of Scientific Research, Illumina, Inc. As the project manager for

the Infinium genotyping product, I lead a multi-disciplinary team of researchers, manufacturing personnel, customer solutions personnel and marketing personnel for the development and launch of the product. The Infinium genotyping product is the next generation highly multiplexed SNP genotyping assay which will enable association studies of complex genetic

diseases. I also directed the biochemistry development efforts of the Infinium genotyping assay.

2000-2003 Director of Scientific Operations, Illumina, Inc. I managed the day-to-day operations of the High-throughput genotyping facility. The Illumina facility has a capacity of two million genotype calls per day. I also lead reagent manufacturing and assisted them in defining QC methods and metrics. I

was on the project team for the BeadLab and BeadStation products from conception to launch. As a project team member, I was responsible for the assay development, reagent manufacturing and integration efforts.

1999-2000 Director of High-throughput Sequencing Facility, Myriad Genetics, Inc. I managed the day-to-day operations of the high-throughput sequencing and

genotyping facilities. I was directly involved with the assay and process design, and the build out of the high-throughput sequencing facility. I lead the production group that identified and implemented improvements to the production facility. The sequence read pass rate of the facility was greater than 90% with a high of 95%. The facility generated greater than eleven

million high quality bases each day.

1998 - 1999

Technical Laboratory Manager, Myriad Genetic Laboratories, Inc. Lead a team that continually refined and improved the quality and efficiency of the DNA sequencing process. We increased the pass rate for the production sequencing facility from a low of 60% (average 75%) to a high of 95% (average 89%). Isolated and removed the common causes of variation within this facility.

Postdoctoral Fellow with Dr. Harvey Mohrenweiser
Lawrence Livermore National Laboratory, Human Genome Center.

Postdoctoral Fellow with Dr. James R. Baker Jr.
University of Michigan Medical Center.

1986 - 1992 Graduate Research Assistant with Dr. Prescott L. Deininger
(Ph.D. Dissertation Advisor). Louisiana State University Medical Center

Education:

Ph.D. Biochemistry and Molecular Biology,

Louisiana State University Medical Center 1992

B.S. Biochemistry, UCLA 1986

Managerial Skills

Managerial/Supervisory experience; I managed the quality improvement process in the highthroughput genotyping facility at Illumina and the high-throughput sequencing and genotyping facilities at Myriad Genetics. This encompasses assay development and the coordination and training of the managerial, supervisory and technical staff on how to improve the production facility. My philosophy for quality improvement within any production facility is careful quantification of the production processes to reduce variation and rapid improvements to increase accuracy. The quality improvement process encompasses every aspect of the production process (i.e. assay development, equipment, SOPs, reagent production, software and well trained people).

Team Leader; Illumina develops products under a matrix management approach. A core team of individuals are selected from functional groups (such as manufacturing, research and marketing) to work together for development and launch of the product. I have experience in both roles, as a core team member and core team leader. As a core team member for the BeadLab and BeadStation products I was responsible for assay/process development, reagent manufacturing and integration activities. Currently as a core team leader, I am responsible for the coordination of activities for the development and launch of the Infinium products.

Memberships, Awards and Activities:

2002-present Member The American Society of Human Genetics.

1986-present Member American Association for the Advancement of Science.

1995-1996 Laboratory Directed Research and Development grant (\$215K) Lawrence Livermore National Laboratory.

1992-1993	Postdoctoral Fellow on the Endocrinology and Metabolism NIH Training Grant
	University of Michigan Medical Center.
1987	Cancer Association of Greater New Orleans Research Grant.
1989, 1990	Cancer Association of Greater New Orleans Research Grant.
1991	LSUMC Dean Travel Award for Keystone Symposia.
1988-1989	President, LSUMC Graduate Student Council.
1984-1986	Member of the Board of Directors, Cooperative Housing Association.

Patents filed/granted:

2000	Method for equalizing band intensities on sequencing gels (granted 12/24/2004, USP 6,835,537) Inventors: Nadeem Tusneem, Dimitry Pruss, Min-Jui Richard Shen and
	Satish K. Bhatnagar.

2002	Multiplex Nucleic Acid Reactions (published 2002) pub. No.: US 2003/0211489 and
	WO 04/001062, Inventors: Min-Jui Richard Shen, Arnold Oliphant, Scott L. Butler,
	John R. Stuelpnagel, Mark S. Chee, Kenneth M. Kuhn and Jian-Bing Fan.

2004 Methods and Compositions for Whole Genome Amplification and Genotyping (application submitted, not yet published) Inventors: Min-Jui Richard Shen, Frank Steemers, Weihua Chang and Kevin Gunderson.

Publications:

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References are available upon request.

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Technical Specifications

SNPlex™ Genotyping System



The SNPlex™ Genotyping System enables the simultaneous genotyping of up to 48 SNPs (single nucleotide polymorphisms) against a single biological sample. This system is ideal for fine mapping and candidate gene analysis, population stratification and microarray replication studies.

Literature/Resources

Please Log In to add products to your Shopping Basket/Favorites, configure a product, or to view products available for purchase in your country.

П	Product Name	Part Number	Quantity/ Package
F .	SNPlex™ System Core Kit (1500 reactions)	4375768	1 kit
	SNPlex™ System Human Linkage Mapping Set 4K	4357150C	1 kit
П	SNPlex™ System gDNA Plates Kit	4366135	1 kit
П	SNPlex™ System Matrix Standard Kit DS-40 (Dye Set S)	4349365	1 kit
	SNPlex™ System Array Conditioning Kit	4352018	1 klt
П	SNPlex™ System Core Kit (Hybridization Plates sold separately)	4362266	1 kit
П	SNPlex [™] System Starter Kit (Core Reagents and Hybridization Plates sold separately)	4362267	1 kit
C.	SNPiex™ System 384 Well Hybridization Plates	4349369	5 plates
П	SNPlex™ System 96 Well Hybridization Plates	4362933	10 plates
	SNPlex™ System Amplification Kit	4349358	1 kit

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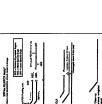
EXHIBIT 3

new product review

SNPlex" System Technology

The breakthrough you've been waiting for...





The system is besed on a proprietary DLA (Oligonucleokie Lighton Assey) bechnology combined with electrophousio his is followed by a universal PCR reaction to amp

high success rate. SNPlex users will be able to a complex precess of design, bealing and optimization

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